

## Summary List of Guidance Issued

The OCC, in cooperation with the other federal financial institutions regulatory agencies, has issued the following guidance on Year 2000 issues:

- June 17, 1996 Effect of Year 2000 on Computer Systems. This document highlights the need for bank management attention to Year 2000 issues.
- May 5, 1997 Examination procedures and Year 2000 Project Management expectations. This document emphasizes the need for financial institutions to make all information processing systems Year 2000 compliant and identifies specific concerns that bank management should consider in managing a conversion program.
- December 17, 1997 Business Risk Guidance. This document outlines expectations for management oversight and board reporting.
- March 17, 1998 Vendor Management. This guidance establishes a due diligence process for financial institutions to use in managing Year 2000 and monitoring service providers' and vendors' Year 2000 efforts.  
  
Customer Risk. This document provides a due diligence approach to help financial institutions identify material customers, evaluate their preparedness, assess Year 2000 customer risk and implement controls to manage the risk.
- April 10, 1998 Testing Guidance. This guidance describes FFIEC expectations regarding the Year 2000 testing efforts of financial institutions and identifies key milestones and testing methods for financial institutions to use to prepare their systems and applications for the Year 2000.
- May 13, 1998 Customer Awareness Programs Guidance. This document describes expectations for a Year 2000 customer awareness program that should be developed by every national bank.
- May 13, 1998 Contingency Planning Guidance. This guidance highlights the differences between "Remediation Contingency Planning" and "Business Resumption Contingency Planning."

In addition, the OCC has issued:

- January 20, 1998      Year 2000 System Integration in Corporate Application Decisions. This advisory alerts bankers that the OCC will consider Year 2000 preparedness and system integration issues in deciding certain corporate applications. (OCC Advisory Letter 98-1)
- February 11, 1998      Year 2000 Disclosures in Securities Filings. This advisory alerts bankers to securities disclosure obligations regarding Year 2000 and attaches the SEC's revised Staff Bulletin #5 for more specific guidance. (OCC Advisory Letter 98-2)
- March 30, 1998      Year 2000 Enforcement Actions. This OCC policy provides guidance on the supervisory response, including enforcement actions, that the OCC will consider to assure corrective action by national banks and their servicers with respect to Year 2000 problems.